



## **General NGO Guidelines for Overseas Assistance**

Bureau of Population, Refugees, and Migration

**Updated: January 2014**

1. [Introduction](#)
2. [PRM Policy Priorities](#)
  - A. Sectors: Minimum Humanitarian Standards
  - B. Vulnerable and Underserved Persons of Concern
  - C. Coordination
  - D. Codes of Conduct
  - E. Safety and Security
3. [New to PRM Funding?](#)
  - A. Overview of the Application Process
  - B. Obtaining a DUNS Number
  - C. Registering with SAM
  - D. Registering with Grants.gov
  - E. Technical Support
  - F. International Multilateral Organizations
4. [Proposal Submission and Review](#)
  - A. Proposal Format and Templates
  - B. Proposal Narrative
  - C. Standardized Indicators
  - D. Cost Proposal (Budget)
  - E. PRM Administrative Requirements
  - F. Cost-sharing
  - G. Acknowledgement of PRM Funding
  - H. Funding Timeframes and Multi-Year Funding
5. [Reporting Requirements](#)
  - A. Program Reports
  - B. Financial Reports
6. [Contacting PRM](#)

Appendix A: Budget Detail Instructions  
Appendix B: Budget Narrative Instructions

## **1. Introduction**

These guidelines provide an overview of the Bureau of Population, Refugees, and Migration's (PRM; also referred to in these guidelines as the "Bureau") mission and overall priorities and are meant to augment regional and/or issue-specific guidance provided in funding opportunity announcements that are released throughout the year.

PRM has primary responsibility within the U.S. government for formulating policies on population, refugees, and migration, and for administering U.S. refugee assistance and admissions programs. PRM's mission is to provide protection, ease suffering, and resolve the plight of persecuted and uprooted people around the world on behalf of the American people by providing life-sustaining assistance, working through multilateral systems to build global partnerships, promoting best practices in humanitarian response, and ensuring that humanitarian principles are thoroughly integrated into U.S. foreign and national security policy.

PRM's primary activities support the efforts of the key multilateral humanitarian organizations responsible for refugees, conflict victims, stateless persons, and vulnerable migrants, including the Office of the U.N. High Commissioner for Refugees (UNHCR), the International Committee of the Red Cross (ICRC), the U.N. Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), and the International Organization for Migration (IOM). The Bureau collaborates closely with the U.S. Agency for International Development (USAID) to ensure our efforts are mutually reinforcing. PRM funds non-governmental organization (NGO) programs that are coordinated with the multilateral system and fill critical gaps. PRM does not provide overseas assistance through for-profit organizations.

The work of NGOs is instrumental to ensuring that the Bureau achieves its humanitarian objectives and fulfills its overall mandate. PRM funds NGO programs designed to fill critical gaps in humanitarian assistance and protection programs. We rely on the fast, flexible, and targeted response of NGOs in emergencies as well as their continued commitment to assist refugee and other populations in protracted situations. Not only are NGOs crucial for assistance delivery, they also provide critical information and analysis for policy development and advocacy.

In an effort to streamline the proposal writing/reviewing process and better measure the impact of the Bureau's work, PRM will increasingly promote the use of standardized indicators. In FY 2014, PRM will require projects working in the health and livelihoods sectors to measure at least one standardized indicator per project (see section 4B below for additional detail). Beginning in FY 2014, PRM will also ask all applicants to complete a gender analysis (see section 2B below). Organizations whose proposals address gender-based violence (GBV) through their projects will also be asked to estimate the cost of these activities as a separate line item in their proposed budgets (see PRM's recommended budget template).

NGO proposals in response to PRM funding opportunity announcements must be submitted via Grants.gov. **PRM recommends submitting proposals as early as possible to avoid being disqualified due to last minute technical difficulties.** Organizations that have waited to submit proposals until the day of the deadline have often experienced technical difficulties causing them to miss deadlines; and, as a result, their proposals were not considered for funding. Because of the time it takes proposal submissions to be registered and validated by Grants.gov, PRM recommends submitting your proposal at least a week before the deadline listed in the funding announcement. Grants.gov guidance notes that it can take 48 hours, and sometimes longer, for a proposal to be validated as received by the Grants.gov system.

If you are new to PRM funding, the Grants.gov registration process can be complicated and time-consuming. We urge you to refer to the "New to PRM Funding" section below for information and resources to help ensure that the application process runs smoothly. PRM also strongly encourages organizations that have received funding from PRM in the past to read this section as a refresher.

Organizations should note that these guidelines only apply to PRM's NGO funding for overseas assistance activities. Guidelines for PRM's refugee resettlement activities are established through a separate process.

## **2. PRM Policy Priorities**

**A. Sectors: Minimum Humanitarian Standards:** This section outlines the key sectors that PRM prioritizes in its funding opportunity

announcements and the associated standards that partners will be expected to meet in their activities. NGO proposals should use the Sphere Minimum Standards in Disaster Response as the basis for design, implementation, monitoring, and evaluation in emergency settings, including proposed objectives and indicators. When attaining minimum standards is not possible, an explanation should be provided as to why this is the case. The Sphere Handbook is available at <http://www.sphereproject.org/>. Additional sector-specific standards, guidelines, or best practices may also apply.

Definitions for activities related to the sectors of **Food, Health, Nutrition, Protection, Shelter and Infrastructure, Water and Sanitation, and Livelihoods** can be found at the “Foreign Assistance Standardized Program Structure and Definitions” developed by the Office of the Director of U.S. Foreign Assistance. This document is available at the following link: <http://www.state.gov/documents/organization/141836.pdf>.

Today’s refugee population is increasingly **urban**. This trend creates new kinds of vulnerabilities and poses new protection challenges for the humanitarian community. It also presents new opportunities to help refugees find ways to become self-reliant. For programs in urban settings, PRM requires partners to adhere to the Bureau’s Principles for Refugee Protection in Urban Areas available online at <http://www.state.gov/documents/organization/187237.pdf>.

- Water, Sanitation, and Hygiene (WASH): See Sphere Handbook. NGOs should design interventions with a focus on maintenance in the longer-term by community water user committees that include both men and women. For all water interventions, NGOs must provide information about water quality testing procedures, including the timing of testing as appropriate during rainy seasons. In refugee reintegration settings, PRM will not typically fund water points that require maintenance parts that are not available on the local market. The exception to this is when NGOs can provide compelling justification for using such infrastructure in emergency situations or if the NGO can demonstrate that they can establish a supply chain for parts not currently available in the local market. Hygiene programs should ensure beneficiaries receive the Sphere minimum standard of soap for bathing and for laundry (as opposed to washing hands with ash, for example).

- Health: See Sphere Handbook. To avoid establishing parallel systems, health strategies should be designed to use national treatment and prevention protocols where possible, and to adhere to international standards where host government capacity is limited. Wherever feasible, interventions should be coordinated with the Ministry of Health (MoH) and, if applicable, coordination mechanisms such as the Health Cluster, with the U.N. World Health Organization (WHO) as the cluster lead. Any health infrastructure built with PRM funding must conform to national MoH guidelines. PRM-supported health partners must report data to UNHCR's Health Information System, if functional in-country. Crude Mortality Rates (CMR) and Global Acute Malnutrition (GAM) survey data should be shared with the UNHCR Public Health and HIV Section and the Complex Emergency Database at the Centre for Research on the Epidemiology of Disasters ([www.cedat.be](http://www.cedat.be)). In refugee reintegration settings, PRM-funded NGOs providing health services should obtain a signed Memorandum of Understanding (MoU) with local or national MoH officials. The MoU should acknowledge the NGO's presence and work, and should include a plan that details the process and timeline for eventual handover of health services to the MoH and other relevant actors, including if/when health staff currently being paid by the NGO will be added to MoH payrolls. Proposals for reproductive health interventions should adhere to the Interagency Field Manual on Reproductive Health in Refugee Situations. PRM supports the use of the Minimum Initial Service Package (MISP) in emergency settings.

NGO partners implementing tuberculosis (TB) programs with refugee populations are expected to use the Centers for Disease Control and Prevention's TB Monitoring and Evaluation toolkit at least once per fiscal year in order to evaluate and improve program quality. The tool evaluates four components of TB programming: (1) Laboratory; (2) Clinical Case Management and Treatment; (3) Health Education; and (4) Data Management and Logistics. It is available at: <http://www.cdc.gov/globalhealth/gdder/ierh/ResearchandSurvey/tbtool.htm>. NGO partners should send results of evaluations to the relevant PRM Regional Program Officer and copy PRM's Health Officer Bryan Schaaf at [schaafbj@state.gov](mailto:schaafbj@state.gov).

- Protection: The core of PRM's mission is to support and promote the protection of the world's refugees and asylum seekers, conflict victims, internally displaced persons, stateless persons, and vulnerable migrants. PRM views protection as a fundamental goal in nearly all the programs it supports. PRM defines protection as: "Measures to safeguard the rights of PRM populations of concern by seeking to prevent or end patterns of violence or abuse; alleviate the trauma and related effects of violence or abuse; identify and promote durable solutions; foster respect for refugee, humanitarian, and human rights law; and ensure that humanitarian actions uphold dignity, benefit the most vulnerable, and do not harm affected populations." NGO partners are not obliged to adopt this definition as their own but should be aware that PRM uses this definition when considering proposals.

PRM pursues four broad protection goals: to address or prevent violations of human rights and humanitarian principles; to fill protection gaps; to strengthen and monitor standards, indicators, and institutional capacities for protection; and to address protection challenges posed by diverse populations of concern. PRM seeks to address a range of protection threats to its populations of concern, including but not limited to: forced return; denial of humanitarian access; restrictions on freedom of movement; insecure humanitarian sites; militarization of humanitarian sites; gender-based violence; sexual exploitation and abuse; family separation; forced conscription; improper registration; lack of proper identity documents; unfair distribution of assistance; tensions with host communities; dangerous coping strategies; and forced evictions.

- Gender-based Violence: [The Inter-Agency Standing Committee \(IASC\) Guidelines on Gender-based Violence \(GBV\) Interventions in Humanitarian Settings](#) define GBV as "an umbrella term for any harmful act that is perpetrated against a person's will, and that is based on socially ascribed (gender) differences between males and females. The nature and extent of specific types of GBV vary across cultures, countries, and regions." Within this definition, PRM includes violence based on gender identity and/or sexual orientation. GBV prevention

and response programs should address GBV, including sexual exploitation and abuse (SEA) amongst PRM's populations of concern, in a manner that respects the dignity of the individual and the culture in which s/he lives. To the extent possible, proposals should be developed in consultation with beneficiaries, communities, local authorities, and the larger humanitarian community. PRM strongly encourages its partners to integrate GBV programming in both multi-sectoral and function-specific projects. In addition to women and girls, GBV prevention and response programs can include men and boys, youth, and lesbian, gay, bisexual, transgender, or intersex (LGBTI) individuals.

Subject to parameters outlined in specific funding opportunity announcements, PRM considers activities that fall under the GBV sector to include:

- Responding to current, identified needs, such as provision of health and psychosocial care, livelihoods interventions, legal assistance or other activities that directly address GBV;
- Public information and rights awareness campaigns among returnees, refugees, health and social service workers and justice officials working with beneficiaries; and,
- Activities designed to create local capacity to respond to GBV in a competent and timely manner, such as training for local staff or beneficiaries themselves in prevention, recognition, and treatment of GBV (including victim counseling), or activities to enhance the timeliness of response to GBV.
- Projects with GBV components should measure the percentage of survivors of GBV who have received or been referred for psychological, medical, legal or any other form of support. This number should be measured with a numerator of the total number of survivors reporting GBV who have received or been referred for psychological, medical, legal or any other form of support and a denominator of the total number of survivors reporting GBV.



- Child Protection: The U.S. government strongly supports the International Child Protection Working Group's [Minimum Standards for Child Protection in Humanitarian Action](#), launched in October 2012. The standards are an important step towards strengthening the professionalism of the humanitarian community in our work to protect children and recognizing the particular vulnerability that children face in humanitarian crises. PRM partners should ensure these standards are reflected in their project proposals. The Minimum Standards for Child Protection are to be used in conjunction with the Sphere Standards to provide a complementary set of agreed norms related to child protection.
  
- Psychosocial: The Inter-Agency Standing Committee Guidelines on Mental Health and Psychosocial Support in Emergency Settings is available at: [http://www.who.int/hac/network/interagency/news/mental\\_health\\_guidelines/en/](http://www.who.int/hac/network/interagency/news/mental_health_guidelines/en/). Proposals should focus on the psychosocial needs of populations at greatest risk and emphasize the participation of beneficiaries. Stand-alone programs should be avoided, and programs should be integrated whenever possible into wider systems such as existing community support mechanisms, social services, general health/mental health services, etc.
  
- Education: The Inter-Agency Network for Education in Emergencies Minimum Standards Handbook is available at: <http://www.ineesite.org/en/minimum-standards/handbook>. To avoid establishing parallel systems, curricula should be designed to comply with national curriculum standards issued by the national Ministry of Education (MoE) of the refugee hosting country and/or the refugee-generating country, wherever possible. Educational programs should be coordinated through the local or national MoE, where feasible. Any schools built with PRM funding must conform to applicable national MoE guidelines regarding school infrastructure. In refugee reintegration settings, PRM-funded NGOs providing education should obtain a signed Memorandum of Understanding (MoU) with local or national Ministry of Education (MoE) officials. The MoU should

acknowledge the NGO's presence and work, and should include a plan that details the process and timeline for eventual handover of educational services to the MoE, including if/when teachers currently paid by the NGO will be added to MoE payrolls. Subject to parameters outlined in specific Funding Opportunity Announcements, PRM considers activities that fall under the Education sector to be those designed to improve early childhood education, primary education, and secondary education. Activities may be delivered in formal or non-formal settings.

- Livelihoods: The Women's Refugee Commission Building Livelihoods Manual is available at: <http://www.womensrefugeecommission.org/programs/livelihoods>. NGOs should conduct a market analysis before proposing an intervention so that programs and trainings offered to beneficiaries promote skills that support livelihoods in the current market conditions and/or in future locations, as in the case of refugee return/reintegration programs.

Additional resources such as the Emergency Market Mapping and Analysis Toolkit ([www.emma-toolkit.org](http://www.emma-toolkit.org)); Building Livelihoods: A Field Manual for Practitioners in Humanitarian Settings ([http://www.eldis.org/go/topics&id=43614&type=Document#.Um\\_EQ2mx5rE](http://www.eldis.org/go/topics&id=43614&type=Document#.Um_EQ2mx5rE)); and Market Development in Crisis-Affected Environments: Emerging Lessons for Achieving Pro-Poor Economic Reconstruction (<http://www.seepnetwork.org/market-development-in-crisis-affected-environments--emerging-lessons-for-achieving-pro-poor-economic-reconstruction-resources-233.php>), may be useful.

- Shelter: Sphere provides minimum standards for the provision of shelter in humanitarian response including transitional shelter, repaired shelter for returnees, temporary shelter with host families, and communal shelter in camps or collective centers (<http://www.spherehandbook.org/en/how-to-use-this-chapter-2/>). Additional resources, such as [Accessing Services in the City: The Significance of Urban Refugee-Host Relations in Cameroon, Indonesia and Pakistan](#) (Church World Service) and [A Handy Guide to UNHCR Emergency Standards and Indicators](#), may also be useful.

**B. Vulnerable and Underserved Persons of Concern:** Because of PRM's mandate to provide protection, assistance, and sustainable solutions for refugees and victims of conflict, PRM only considers funding NGO projects that include a target beneficiary base of at least 50% refugees, returnees, and/or other persons of concern as described in the relevant request for proposals. PRM focuses on meeting the needs of vulnerable and underserved populations and strongly encourages proposals that can demonstrate steps to ensure that within the target population programs also reach the following potentially vulnerable and underserved groups: women; children; lesbian, gay, bisexual, transgender, or intersex (LGBTI) individuals; older persons; the sick; persons with disabilities; and other minorities. PRM strongly promotes women's equal access to resources and their participation in managing those resources. NOTE: PRM partners must now complete a gender analysis (see proposal template, section 3a) that briefly analyzes (1) gender dynamics within the target population (i.e., roles, power dynamics, and different needs of men and women, girls and boys); (2) associated risks and implementation challenges for the project posed by those dynamics; and (3) how program activities will mitigate these protection risks and be made accessible to vulnerable groups (particularly women and girls). A gender analysis is a requirement prior to PRM making a final funding award.

**C. Coordination:** PRM places a high priority on coordination and collaboration in project design and implementation. A proposal must demonstrate the extent to which an organization coordinates and cooperates with the national and local host government, UN agencies (especially UNHCR), relevant international organizations (IO), other USG agencies, other donors, and other NGOs. Projects must target critical gaps identified and agreed upon through this coordination effort.

**D. Codes of Conduct:** PRM strongly supports the Inter-Agency Standing Committee's (IASC) Plan of Action to protect beneficiaries of humanitarian assistance from sexual exploitation and abuse (SEA). PRM partners must have Codes of Conduct consistent with the IASC's six core principles signed and implemented within their organizations prior to PRM making an award. Applicants should include codes of conduct as an attachment to the proposal application. (IASC's core principles document can be found at: <http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-products-products&sel=14>. PRM will review to ensure that our overseas

and domestic non-governmental organization partners have IASC-compliant Codes of Conduct in place at the time of submitting a proposal.

PRM further encourages NGO partners to develop clearly articulated policies to both respond to and prevent this type of abuse. Over the next two years, PRM will hold consultations with partners about requiring Accountability Work Plans, similar to security plans, to further demonstrate their preparation for preventing and responding to SEA.

**E. Safety and Security:** When implementing any PRM award, the implementing organization is responsible for ensuring that adequate measures are taken for the security and safety of the organization's personnel, including local staff, and any PRM-funded property, equipment, and vehicles. It is essential for every organization to have well-defined security policies and consistently applied operational security protocol. Proposals should include a security plan and protocol that is designed specifically for the local operating environment based on a security assessment. A generic, organization-wide plan is not acceptable. PRM strongly recommends that organizations be aware of any relevant travel advisories issued by the State Department; ensure that all U.S. citizen employees register at the relevant U.S. embassy while working overseas; adhere to the UN's security guidelines in any given location; and use [InterAction's suggested guidance for implementing the Minimum Operating Security Standards \(MOSS\)](#). PRM will consider requests to fund security requirements. Failure to maintain adequate security precautions may result in suspension of PRM funding.

### **3. New to PRM Funding?**

**A. Overview of the Application Process:** Preparing to apply for PRM funding is a multi-step process that can take four weeks or more for U.S. NGOs and considerably longer for non-U.S. NGOs. **Organizations considering applying for PRM funding should start the process as early as possible to avoid missing submission deadlines. Organizations do not need to wait for funding opportunity announcements in order to start the registration process.**

PRM posts all funding opportunities on the website Grants.gov (<http://www.grants.gov>), PRM's website

(<http://www.state.gov/j/prm/funding/index.htm>), and in the Catalog of Federal Domestic Assistance (CFDA). **All proposals in response to PRM funding opportunity announcements must be submitted via Grants.gov.**

PRM's CFDA numbers are:

- 19.018 – Resettlement Support Centers (RSCs) for U.S. Refugee Resettlement\*
- 19.510 - U.S. Reception and Placement Program\*
- 19.511 - Overseas Refugee Assistance Programs for East Asia
- 19.517 - Overseas Refugee Assistance Programs for Africa
- 19.518 - Overseas Refugee Assistance Programs for Western Hemisphere
- 19.519 - Overseas Refugee Assistance Programs for Near East and South Asia
- 19.520 - Overseas Refugee Assistance Programs for Europe
- 19.522 - Overseas Refugee Assistance Programs for Strategic Global Priorities

\*Organizations should note that these guidelines only apply to PRM's NGO funding for overseas assistance activities. Guidelines for PRM's refugee resettlement activities are established through a separate process.

**To begin the process of seeking PRM funding, applicants must:**

- Obtain a Data Universal Numbering System (DUNS) number for their organization.
- Register with the U.S. government-wide System for Award Management ([www.SAM.gov](http://www.SAM.gov)).
- Create a username and password on Grants.gov and complete their AOR (Authorized Organization Representative) profile.
- The E-Business Point of Contact (E-Biz POC) at the organization must confirm the applicant as an Authorized Organization Representative.

**B. Obtaining a DUNS number:** Organizations can obtain a free DUNS number from Dun and Bradstreet (D&B) anytime and do not need a U.S. government grant. Organizations located in the U.S. can request a DUNS number free of charge by contacting D&B online at <http://fedgov.dnb.com/webform> or by telephone at 1-866-705-5711. Registration typically takes five to ten minutes by phone and up to 24 hours via the web-form.

Organizations located outside the U.S. can request a DUNS number free of charge by contacting D&B online at <http://fedgov.dnb.com/webform> or by telephone at the local D&B office. The list of international offices is available at <http://www.dnb.com/customer-service/global-customer-service-centers.html>.

**C. Registering with SAM:** To successfully apply through Grants.gov, organizations must use their DUNS number to register with the System for Award Management (SAM) at [www.SAM.gov](http://www.SAM.gov) or 1-866-606-8220 (U.S.) or 1-334-206-7828 (international). Note that SAM registration must be updated annually. If registration is not completed by the time the application for PRM funding is submitted, the application will be rejected. PRM strongly recommends that organizations complete the registration process as early in the fiscal year as possible in order to avoid potential delays when calls for proposals are issued. Detailed instructions on how to complete this registration process can be found at <http://www.grants.gov/web/grants/applicants/applicant-faqs/registering-with-sam.html>. When organizations register on SAM.gov, they will be asked to identify a single “E-Biz Point of Contact” for the organization. This person has the responsibility to confirm which individuals have the authority to submit proposals on behalf of the organization.

**D. Registering with Grants.gov:** Once organizations have obtained their DUNS number and completed their SAM registration, the individual who is submitting the application on behalf of the organization must register on the Grants.gov website (<http://www.grants.gov/web/grants/register.html>) and create a username and password to complete their AOR (Authorized Organization Representative) profile. Once the AOR has registered on Grants.gov, the E-Biz Point of Contact at the organization will receive an email and must log on to Grants.gov to confirm the applicant as an AOR. This process safeguards against individuals who may submit an application on behalf of an organization without its permission. All applicants are encouraged to consult Grants.gov’s online Applicant Resources page (<http://www.grants.gov/web/grants/applicants/applicant-resources.html>) for frequently asked questions, user guides, and applicant training videos to familiarize themselves with the application process.



**E. Technical Support:** Applicants who experience technical difficulties with the Grants.gov system during the application process should report the problem to the Grants.gov Help Desk at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov) as soon as possible and ideally at least one week prior to the deadline identified in the funding opportunity announcement. Grants.gov will assign a case number and open a service request to research the problem(s). Applicants should then contact the PRM point of contact identified in the respective funding opportunity announcement to document that the applicant has experienced problems and is seeking to resolve them, and to determine whether an alternative method of submission is appropriate.

Applicants experiencing technical difficulties with the SAM registration process should contact the Federal Service Desk (FSD) at <https://gsafsd.service-now.com/fsd-gov/home.do> or 1-866-606-8220 (U.S.) and 1-334-206-7828 (International).

**F. International multilateral organizations:** International multilateral organizations, such as United Nations agencies, should not submit proposals to PRM through Grants.gov. Multilateral organizations that are seeking funding for programs in response to a PRM-issued funding opportunity announcement should contact the relevant PRM point of contact listed in the announcement on or before the closing date, to make their interest known.

#### **4. Proposal Submission and Review**

All funding opportunity announcements are listed on Grants.gov as well as on PRM's website: <http://www.state.gov/j/prm/funding/index.htm>. To receive PRM's funding announcements via email, go to the Bureau's website and subscribe to PRM's listserv.

PRM conducts formal internal competitive reviews of all proposal submissions based on the proposal evaluation criteria and PRM's priorities.

PRM accepts unsolicited proposals at any time; however, due to limited funding, priority will be given to proposals responding to PRM-issued funding opportunity announcements.

**A. Proposal Format and Templates:** PRM recommends that applicants use the suggested templates available from PRM's NGO Coordinator:

- the proposal narrative for single year projects,
- the proposal narrative for year one of multi-year projects,
- the budget summary and budget narrative for all projects,
- the continuation application for years two and three of multi-year projects.

If an NGO is using PRM's template, proposals must not be more than 20 pages in length for single-year applications, including instructions, and 30 pages for multi-year funding proposals. If an NGO is not using the PRM template, then proposals must not be more than 15 pages in length (25 for multi-year proposals). All proposals should use Times New Roman 12 point font, with one inch margins on all sides. Organizations may choose to attach work plans, activity calendars, and/or logical frameworks as addendums/appendices to the proposal. These attachments do not count toward the page limit total however annexes cannot be relied upon as a key source of program information. The proposal narrative must be able to stand on its own in the application process.

**When submitting documents on Grants.gov, please pay close attention to the file naming conventions. If these guidelines are not followed, your application may be rejected:**

- File attachment names longer than approximately 50 characters can cause problems processing packages. Please limit file attachment names. Also, do not use any special characters (example: &, <, \*, %, /, #, -, ), this includes periods (.), spacing followed by a dash in the file and for word separation, use underscore (example: Attached\_File.pdf) in naming the attachments.

To request copies of all PRM-recommended templates, send an email with only the phrase "PRM NGO Templates" (without the quotation marks) in the subject line, to [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov). You will receive an automated email reply containing the templates mentioned above (proposal templates, budget summary and budget detail templates, and the continuation application template) as well as the quarterly program report template discussed later in these guidelines.



**B. Proposal Narrative:** Please use the following guidelines to address each section of the proposal. If NGOs choose not to use the PRM templates, proposals must still include the sections outlined below.

- **Summary of Project:** Complete the table on the first page of the template.
- **Problem Analysis:** This section should provide the rationale and justification for the proposal.
  - **Background** - Describe the current or anticipated elements of the humanitarian situation that this project seeks to address. This section should be brief, ideally not more than 300 words.
  - **Analysis** - Provide a summary of assessments that have been conducted and other relevant background information collected to identify the needs of the target population. Indicate dates, sources of information, and describe the most critical needs, vulnerabilities, or capacities that were identified.
  - **Profile of the Target Population** – What are the demographic characteristics and size of the target beneficiary population? What, if anything, distinguishes them from others in the location? Where relevant, include numbers of refugees, IDPs, returnees, host country nationals, etc., as well as locations, gender, age, and any other unique factors. Explain how the program will target direct beneficiaries and what actions you would take to ensure that potentially vulnerable and underserved groups (women; children; lesbian, gay, bisexual, transgender, or intersex (LGBTI) individuals; older persons; the sick; persons with disabilities; and other minorities) are included as beneficiaries and are able to access the program. Use the most recent data available and cite sources. PRM understands that many NGO projects will focus on mixed communities composed of refugees (or returnees), IDPs, and members of the local population. Nevertheless, a project receiving PRM funding must demonstrate that refugees, returnees, and/or other persons of concern as described in the relevant request for proposals constitute at least 50% of its beneficiary population. List the specific locations – including camps, provinces, districts, villages, neighborhoods, temporary accommodation centers,

- etc. – of proposed activities. Provide GPS coordinates, where available. If the locations are not yet known, please explain how the sites will be chosen.
- **Need** –How does this proposal fill a gap in current assistance efforts, including those being undertaken by the host country, UNHCR, other international organizations, and/or NGOs?
  - **Program Description - This is the core of a proposal. It should clearly and concisely outline the implementation plan for each objective**, including locations, key activities, any implementing partners, and key outputs. Objectives in NGO proposals must be clearly linked to one of the following sectors where PRM works: Water, Sanitation, and Hygiene (WASH); Health; Nutrition and Food Security; Education; Livelihoods; Shelter; and Protection, including Gender-based Violence, Child Protection, and Psychosocial Support. The program description must also identify the target population, any goods or services to be provided, and the standard of delivery used (i.e. Sphere). If the standard of delivery differs from an accepted international standard, provide justification for the variance. While there is limited space for narrative in the template, separate work plans, logical frameworks, and/or activity calendars may be attached to provide additional detail, although annexes cannot be relied upon to provide key programmatic information. In the case of multi-year funding applications, explain why multi-year funding is necessary for the program to succeed, and how the proposed activities in year one will contribute to outcomes and impacts in years two and three.

**NOTE:** PRM partners must now complete a gender analysis (see proposal template, section 3a) that briefly analyzes (1) gender dynamics within the target population (i.e., roles, power dynamics, and different needs of men and women, girls and boys); (2) associated risks and implementation challenges for the project posed by those dynamics; and (3) how program activities will mitigate these protection risks and be made accessible to vulnerable groups (particularly women and girls). A gender analysis is a requirement prior to PRM making a final funding award.

- **Objectives and Indicators** – Outline the objectives for the project and highlight the key indicators proposed to measure progress toward each objective. The types and the number of indicators will vary depending on the project design. For PRM’s purposes, an indicator should include a target, not merely a measurement category. Identify each indicator as an input, output, outcome or impact indicator. Multi-year projects must include objectives and indicators for each year. The following definitions are taken from the Office of the Director of U.S. Foreign Assistance’s “Glossary of Evaluation Terms” available at: [http://diplomedia.state.gov/images/Foreign\\_Affairs\\_Program\\_Evaluation\\_Glossary - Core Terms.doc](http://diplomedia.state.gov/images/Foreign_Affairs_Program_Evaluation_Glossary_-_Core_Terms.doc)
  - **Indicator:** Quantitative or qualitative variable that provides reliable means to measure a particular phenomenon or attribute.
  - **Input:** Resources provided for program implementation. Examples are money, staff, time, facilities, equipment, etc.  
*Example of Input Indicator: 5 health education sessions conducted in schools targeting a total of 2,000 students.*
  - **Output:** The products, goods, and services which result from an intervention.  
*Example of Output Indicator: 2,000 students complete 3 hours of hygiene education.*
  - **Outcome:** A result or effect that is caused by or attributable to the project, program or policy. Outcome is often used to refer to more immediate and intended effects.  
*Example of an Outcome Indicator: 75% of children enrolled in school demonstrate a 50% knowledge gain on proper hygiene methods, as demonstrated in pre- and post-test scores.*
  - **Impact:** A result or effect that is caused by or attributable to a project or program. Impact is often used to refer to higher level effects of a program that occur in the medium or long-term, and can be intended or unintended and positive or negative.

*Example of an Impact Indicator: Rate of diarrhea among student population decreases by 30% (baseline 40% - target 10%).*

Outcome and impact indicators are the strongest measurement of a program's effect on beneficiaries. PRM suggests focusing on outcome and impact indicators where possible, although, depending on the situation or program, it may only be feasible to measure impact over multiple years. Each objective should have at least one outcome or impact indicator that can be measured in a twelve-month timeframe. PRM requires a minimum of one objective with at least two indicators per objective, although you may include more indicators depending on the type of project.

Selection of indicators should be informed by data gathered in baseline surveys by the NGO or another international organization or NGO operating in the area. PRM encourages the sharing of survey/assessment data among its partners. Additionally, the Bureau strongly encourages NGOs to share information with humanitarian response coordination bodies, such as OCHA, in the field. For those rare projects without baseline data available at the time of proposal submission, NGOs are required to obtain baseline data within the first month of project period if the project is approved for funding by PRM. Using baseline data, establish expected performance targets for each indicator and objective in order to measure and evaluate progress and outcomes. Also include details on how indicators will be measured, including the data collection methodology, frequency of measurements, and how progress will be documented.

For each indicator, identify both the targeted population (e.g. entire camp or refugee population vs. a sub-set of the population such as women or adolescents) and the population totals. Clear identification of the population and its size is necessary to establish data collection techniques and to calculate percentages and measure change over time for indicators that include percentages.

- Example Indicator: 30% increase in new mothers who breastfeed
  - Target population – new mothers (approximately 500/month)
  - Baseline – 100 new mothers breastfeed on average currently

- Target – 30 new mothers breastfeed (30% of 100, so 130 new mothers breastfeed in total)

**Objectives and indicators will be formally written into the cooperative agreement for proposals that are selected for PRM funding and will be used by PRM to monitor and evaluate the project.** Accordingly, proposed objectives and indicators should be strategic milestones of program performance. Quarterly reports submitted to PRM must track progress against each of these indicators. Consultations with PRM may be necessary in order to arrive at a final set of agreed upon objectives and indicators.

- **Monitoring and Evaluation Plan** – Describe the monitoring and evaluation plan. Work plans, logframes, activity calendars, etc., may be attached to illustrate how the organization will track and measure progress. Include, at a minimum, the following elements in the description and/or attached documents:
  - A timeline to track the program’s progress;
  - Details on how indicators will be measured, including frequency of the measurements, units of measure, target dates when indicators will be met, etc. Note which monitoring and evaluation tools will be used (such as clinic records, rapid assessment surveys, site visits, key stakeholder interviews, focus group discussions, interview logs, timelines, progress reports, etc.);
  - Describe how problems identified during monitoring will be addressed;
  - Organizations that received PRM funding in the previous fiscal year must include an assessment of their programs’ success in meeting goals and objectives with an up-to-date, cumulative progress report against indicators as outlined in the cooperative agreement. Organizations should describe problems encountered and explain how they were addressed.
- **Beneficiary Interaction and Capacity Building** – Explain how the activity enhances the existing capacities of the beneficiary population or the capacities of the host government to provide services for refugees, returnees or other populations of concern, and their host community. The proposal should also explain how the organization will draw upon and

support traditional coping mechanisms and involve the targeted population in program design and implementation. Why is the program appropriate for the target population? How is the target population involved in program design and implementation? Are there appropriate types of assistance that can be provided to host populations?

- **Coordination** – How does the organization coordinate with the host government (national and/or local), UNHCR, other international organizations, and NGOs to ensure complementarity, prevent duplication and to maximize resources? For programs targeting refugees or other populations for which international assistance is being coordinated by UNHCR, provide a letter of support from UNHCR that clearly identifies the gap in services the proposed activity is designed to fill. Describe what other NGOs and international organizations are doing in the same region. Identify any links between these existing programs and the proposed activities, explaining how these activities will be coordinated. Describe any possible regional (cross-border) implications.
- **Transition** – Where appropriate, organizations should explain how their projects will include local capacity-building elements, incorporate longer-term sustainability objectives into humanitarian programs, increase work towards durable solutions, or be handed over to another organization (either local/national government or NGO) or financed by other means after PRM funding ends. For projects in protracted refugee situations, return/local integration contexts, and multi-year proposals, where feasible, applicants must note the specific project design elements and advocacy with local governments and/or other donors that the project will include from the outset, to support the successful transition elements listed above. To qualify for funding in these contexts, organizations must submit a strong transition plan that includes a strategy for establishing local collaboration and buy-in, including local financing where possible, of the proposed intervention. If transition is not feasible, organizations should explain why not and explain why multi-year funding is still necessary for the program to succeed or for program efficiencies to be achieved. In general, PRM will prioritize proposals that show evidence of coordination with other organizations.
- **Management** – Provide details on the organization's management structure and how it will contribute to achieving the stated objectives.

Provide examples of past performance that demonstrate the organization's success in implementing similar programs in this sector and/or country.

- **Safety and Security** – Briefly describe the security environment in the area of operation, how the organization locally manages risk to its international and national staff (including how it communicates and coordinates with other organizations about safety and security), and how the organization would respond to a deterioration of the security situation or a significant security incident. PRM will consider requests to fund security requirements. All security incidents or threats involving NGO staff should be promptly reported to the U.N. Department of Safety and Security (UNDSS), the U.N. Office for the Coordination of Humanitarian Affairs (OCHA), the relevant U.S. Embassy, and the relevant PRM Regional Refugee Coordinator.
- **Sub-Contracts/Sub-Recipients** – List the full and exact name of any sub-contractors or sub-recipients the organization plans to fund through the proposed project. Identify sub-grantees including, for each, the Legal Name, Organizational DUNS, Address, and Name of Organizational Representative. Describe how these organizations were vetted to comply with U.S. Executive Order and law, which prohibits transactions with and the provision of support to organizations associated with terrorism.
- **PRM Recognition** – Describe how the organization will recognize the U.S. government's financial support, provided through PRM, for the proposed project/activities (e.g. in publications, press releases, etc., and at the project site). If your organization believes that publicly acknowledging U.S. government financial support at the project site could potentially endanger the lives of the beneficiaries and the organization's staff, invite suspicion about the organization's motives or alienate the organization from the population it is trying to help, provide a brief explanation and a request for an exemption from the project site acknowledgement requirement.

**C. Standardized Indicators:** In an effort to streamline the proposal writing/reviewing process and better measure the impact of the Bureau's work, PRM will increasingly promote the use of standardized indicators. In FY 2013, PRM provided a limited number of health-related indicators for

urban and camp-based/returnee settings that were to be included in relevant proposals with health components. In FY 2014, PRM will require standardized indicators in two sectors: health and livelihoods. PRM welcomes feedback from its NGO partners on its standardized indicators initiative.

Health: Proposals focusing on health in camp based/returnee settings must include a minimum of one of the four following indicators and should try to include as many of the other indicators as are relevant:

- Number of consultations/clinician/day (Target: Fewer than 50 patients per clinician per day).
- Measles vaccination rate for children under five (Target: 95% coverage).
- Percentage of deliveries attended by a skilled birth attendant in a health care facility (Target: 100%).
- Percentage of reporting rape survivors given post-exposure prophylaxis (PEP) within 72 hours (Target: 100%).

Proposals focusing on health in urban settings must include a minimum of one of the six following indicators and should try to include as many of the other indicators as are relevant:

- Capacity-building: # of health care professionals/administrators trained on providing health services to beneficiary populations.
- Referrals: # of beneficiaries referred to appropriate services, and % of those referred who were able to get needed services.
- Community Outreach: # of beneficiaries who received targeted messages on their rights and health-related services available to them.
- Health Staffing: # of total consultations per health care provider, disaggregated by refugee/national, sex, and age.
- Patient Satisfaction: % of beneficiary patients receiving primary and emergency care who express satisfaction with services received.
- Post Exposure Prophylaxis: % of reporting beneficiary rape survivors given PEP within 72 hours (Target: 100%).

NGO proposals seeking to fund service provision may include the following indicators as appropriate:



- Primary Care: # and % of beneficiary patients, by sex and age, receiving primary health care assistance.
- Emergency Care: # and % of beneficiary patients, by sex and age, receiving care for trauma or sudden illness.

Proposals should include custom health indicators in addition to the relevant standardized health indicator(s).

Projects with a health and/or nutrition component are strongly encouraged to measure the Crude Mortality Rate (CMR) for the population and Global Acute Malnutrition (GAM) in children under age five – two core indicators of the impact of humanitarian assistance. PRM requires that, in addition to required program reports, partners share survey data on CMR and GAM with the UNHCR Public Health and HIV Section, including through the UNHCR's Health Information System (HIS) where available, and with the Centre for Research on the Epidemiology of Disasters (CRED) for inclusion in the online Complex Emergencies Database (CE-DAT) by emailing it to [contact@cedat.be](mailto:contact@cedat.be).

**Livelihoods:** Proposals focusing on livelihoods in camp based/returnee settings must include a minimum of one of the three following indicators and should try to include as many of the other indicators as are relevant:

### **Camp-Based/Returnee Settings**

- Number of project beneficiaries, disaggregated by gender and population (refugee, national) receiving training on appropriate skills as determined by market and livelihood assessments. This may include language and skills training, entrepreneurship building, financial literacy, business support services, job placement and apprenticeship schemes, and/or legal aid.
- Number and percentage of program participants, disaggregated by gender and population (refugee, national) reporting higher household income level by end of project period as compared to the pre-project baseline assessment.
- (Temporary Employment) Number of beneficiaries, disaggregated by gender and population (refugee, national) participating in cash or food for work programs.

Proposals focusing on livelihoods in urban settings must include a minimum of one of the eight following indicators and should try to include as many of the other indicators as are relevant:

### **Urban**

- Number of project beneficiaries, disaggregated by gender and population (refugee, national) receiving training on appropriate skills as determined by market and livelihood assessments. This may include language and skills training, entrepreneurship building, financial literacy, business support services, job placement and apprenticeship schemes, and/or legal aid.
- Number and percentage of program participants, disaggregated by gender and population (refugee, national) reporting higher household income level by end of project period as compared to the pre-project baseline assessment.
- Number and percentage of program participants, disaggregated by gender and population (refugee, national) in urban settings who are placed in jobs by completion of the project period. Note: A chart should be provided reflecting the length of employment for program participants.
- (Temporary Employment) Number of beneficiaries, disaggregated by gender and population (refugee, national) participating in cash or food for work programs.
- The percentage of sampled host community employers who are able to identify at least two skill-sets (e.g., carpentry, embroidery) among program beneficiaries living in their municipality.
- The percentage of sampled host community employers who are able to describe accurately the procedures for hiring program beneficiaries.
- The percentage of sampled urban program beneficiaries who:
  - Are able to describe accurately the procedures for receiving permits to conduct business.
  - Apply for and receive for business permits.
- The percentage of sampled urban program beneficiaries who are economically self-reliant, as measured by self-reporting of household consumption and income sources.

**D. Cost Proposal (Budget):** PRM's recommended budget template for all proposals delineates expenses by project objective and by country, in the case of multi-country projects. PRM has developed instructions for

completing the Budget Detail and the Budget Narrative. To request the budget template and instructions, send an email with only the phrase “PRM NGO Templates” (without the quotation marks) in the subject line, to [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov).

The Cost Proposal should include the following items:

- 1) Application for Federal Assistance – the SF 424 form that is included in the Grants.gov application package;
- 2) Budget Summary;
- 3) Budget Detail;
- 4) Budget Narrative;
- 5) Organizational Chart for award recipient and sub-recipient(s), if applicable; and
- 6) Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.

In FY 2014, PRM will ask applicants whose proposals address GBV through their projects to estimate the total cost of these activities as a separate line item in their proposed budgets. PRM understands that this is only an estimate. PRM’s budget template document has been updated to reflect this new requirement.

Multi-year funding requests must include a budget summary, detail and narrative for each year. If the PRM budget template is used, organizations can use the same template for each year, on the understanding that the budget for years two and three may need to be revised when the continuation application is submitted. PRM cannot guarantee funding for follow-on years and awards for years two and three remain contingent upon continuing need, performance, and availability of funding [See Funding Timeframes and Multi-Year Funding section below for details].

- **Budget Summary** - The Budget Summary should indicate the anticipated aggregate dollar amount for the major object class categories, to include, personnel, fringe benefits, travel, equipment, supplies, contractual, construction, other direct costs, and indirect charges. Please round each line-item cost to the nearest dollar. **The Budget Summary must also break out the overall budget by objective, which must be clearly linked to the following sectors where PRM works:** Water, Sanitation, and Hygiene (WASH); Health; Nutrition and Food Security;

Education; Livelihoods; Shelter; and Protection, including Gender-based Violence, Child Protection, and Psychosocial Support.

- **Budget Detail** - The Budget Detail should include descriptive line-items that support each cost listed within each object class category. Please round each line-item cost to the nearest dollar.
- **Budget Narrative** - The Budget Narrative should include sufficient detail to enable the reviewer to obtain the same reasonable determination of cost. For example, the description for the line item for “Training Materials” within the object class category “Supplies” could read, “includes the cost of expendable supplies, such as, paper, notebooks, folders, pens, and pencils with an estimated cost of \$5 per participant. \$5 X 1,000 participants = \$5,000.”
- **Organizational Chart** - The Organizational Chart should enable PRM to evaluate the structure and determine the allocation of personnel costs for single and across multiple federal assistance awards. For example, if one full-time Regional Program Coordinator has responsibility that is divided equally for each of ten (10) federally-funded projects, the salary for this position should be allocated across all awards in such a manner as to equal 100% of the time available for this position. This salary should not be 30% on each award. The cost of staffing needs associated with each proposal should only reflect the staffing required to carry out the required activities. Since PRM awards do not fund contingencies, budgets should avoid using the category of “back-stopping.”
- **NICRA** - Recipients of PRM assistance awards may be reimbursed for applicable indirect costs only if they have a negotiated indirect cost rate agreement (NICRA) established by the Recipient’s “cognizant” agency. The cognizant agency for non-profit organizations is determined by calculating which federal agency provides the most grant funding. If the Recipient has executed an indirect cost rate agreement with a cognizant agency other than the Department of State, PRM will use that negotiated agreement as the basis for determining indirect cost reimbursement. In cases where no cognizant agency has been designated or the Recipient organization does not have an established negotiated indirect cost rate agreement with any federal agency, PRM will refer the Recipient to the Department of State office responsible for negotiation and approval of an indirect cost rate which would be applicable to future awards. Under

PRM awards, no indirect costs may be reimbursed without an executed NICRA. The State Department is implementing new policies to shorten the amount of time required to close out assistance awards that have Negotiated Indirect Cost Rate Agreements (NICRAs). In accordance with this policy, PRM included new provisions in its FY 2013 assistance awards that tightened the time frames for NGOs to submit final financial reporting based on final NICRAs.

The Cost Proposal should also include the Recipient's Share of Cost in addition to the dollar amount requested from PRM. The Budget Summary and Budget Detail should include the dollar amount(s) anticipated or received from other sources (including the organization's own funds and support from other donors) and the dollar amount of any in-kind contributions. Be sure to indicate the funding source for each line-item to include (1) the contribution to be made by the applicant; (2) the contribution to be made by other agencies or organizations (specifying each donor and amount); and (3) the amount of cash and in-kind contributions to be made from all other sources (specifying each donor and amount). Applicants should specify which, if any, of these "Recipient Share of Cost" amounts are to be subject to formal cost sharing requirements under the award.

**For awards to an overseas organization, the following standard cost sharing provision would be applicable:**

It is understood and agreed that the Recipient must provide the minimum amount of cost sharing or in-kind contributions as stipulated in the Recipient's budget approved by the Grants Officer. Not providing the minimum amount of cost sharing or in-kind contribution as stipulated in the Recipient's approved budget may result in questioned costs and the Department of State contribution reduced in proportion to the amount of the questioned costs. The Recipient must maintain written records to support all allowable costs claimed as being its contribution to cost participation, as well as costs to be paid by the Department of State. Such records are subject to audit. The recipient must report the amount of cost sharing contributed under the award in its financial status reports.

**OR**

**For awards to a U.S. organization, the following standard cost sharing provision would be applicable:**

It is understood and agreed that the Recipient must provide the minimum amount of cost sharing as stipulated in the Recipient's budget approved by the Grants Officer. Cost sharing may be in the form of allowable direct or indirect costs. The Recipient must maintain written records to support all allowable costs which are claimed as being its contribution to cost participation, as well as costs to be paid by the Federal Government. Such records are subject to audit. The basis for determining the value of cash and in-kind contributions must be in accordance with 22 CFR 145 (OMB Circular A-110 (Revised), Subpart C. Section 23 Cost Sharing and Matching). In the event the Recipient does not provide the minimum amount of cost sharing as stipulated in the Recipient's approved budget, the DOS's contribution will be reduced in proportion to the Recipient's contribution.

If applicable, the Cost Proposal and Budget Summary, Budget Detail, and Budget Narrative should specifically identify sub-grantees including, for each, the Legal Name, Organizational DUNS, Address, and Name of Organizational Representative. The Cost Proposal guidance provided above is recommended for use by sub-recipient(s) when preparing their budget documents.

**E. PRM Administrative Requirements:** To be considered eligible for PRM funding, in general all submissions must include the following (organizations should refer to the relevant funding opportunity announcement for further information and clarification on the requirements for that announcement):

- Completed proposal narrative and budget;
- Completed SF-424 form. PRM requires that Box 21 of the SF 424 be checked. Please note that pursuant to U.S. Code, Title 218, Section 1001, stated on OMB Standard Form 424 (SF-424), the Department of State is authorized to consolidate the certifications and assurances required by Federal law or regulations for its federal assistance programs. The list of certifications and assurances can be found at: [http://fa.statebuy.state.gov/content.asp?content\\_id=161&menu\\_id=68](http://fa.statebuy.state.gov/content.asp?content_id=161&menu_id=68);
- Copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable;
- Information in support of any cost-sharing/cost-matching arrangements, if applicable;

- Information detailing the source of any in-kind contributions, if applicable;
- Details on any sub-agreements associated with the program (should be part of the budget submission as noted above, if applicable);
- Copy of the organization's Code of Conduct, which should be consistent with the IASC's six core principles, and an explanation of how the codes of conduct will be reflected in project implementation. PRM encourages applicants to attach a separate document or include a narrative with the organization's procedures for responding to allegations of sexual exploitation and abuse of beneficiaries by staff. For assistance in this regard, contact PRM's NGO Coordinator at [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov).
- The organization's security plan.

Please integrate this documentation into as few files as possible and pay careful attention to Grants.gov's guidance for file naming conventions [See Proposal Format and Templates section above].

NGOs that have never received PRM funding must be prepared to demonstrate that they meet the financial and accounting requirements of the U.S. government by providing copies of the following with their funding application:

- the most recent external financial audit;
- proof of non-profit tax status including under IRS 501 (c)(3), as applicable;
- Data Universal Numbering System (DUNS) Number; and
- Employer ID number (EIN)/Federal Tax Identification Number (if a U.S. organization).

**F. Cost-sharing:** PRM looks favorably on cost-sharing efforts and seeks to support projects with a diverse donor base and/or resources from the submitting organization. Please refer to the Cost Proposal section of this Guidance for treatment of cost-sharing in budgets and PRM awards.

**G. Acknowledgement of PRM funding:** Organizations receiving overseas assistance from the Bureau are required to acknowledge publicly the projects and activities funded with that assistance. As a condition of receipt of an assistance award, all materials produced pursuant to the award, including training materials, materials for recipients or materials to communicate or

promote with foreign audiences a program, event, project, or some other activity under this agreement, including but not limited to invitations to events, press materials, event backdrops, podium signs, etc. must be marked appropriately with the standard U.S. flag in a size and prominence equal to (or greater than) any other logo or identity. Subrecipients and subsequent tier sub-award agreements are subject to the marking requirements and the recipient shall include a provision in the subrecipient agreement indicating that the standard, rectangular U.S. flag is a requirement. In the event the recipient does not comply with the marking requirements as established in the approved assistance agreement, the Grants Officer Representative and the Grants Officer must initiate corrective action.

At the project site, acknowledgement should be in the form of a graphic of the U.S. flag accompanied by one of the following two phrases based on the level of PRM funding:

- 1) Fully funded with PRM contribution: ‘Gift of the United States Government.’
- 2) Partially funded with PRM contribution: ‘Funding provided by the United States Government.’

Updates of action taken related to fulfilling this requirement must be included in quarterly program reports to PRM.

An organization may request exemption from this requirement if it believes that public acknowledgment of USG funding might endanger the lives of the beneficiaries and/or the organization’s staff, invite suspicion about the organization’s motives or alienate the organization from the beneficiary population. To request PRM consideration of an exemption to this requirement, the organization must provide an explanation of the relevant factors in its proposal.

For an electronic copy of the approved U.S. flag logo please contact PRM’s NGO Coordinator at [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov).

**H. Funding Timeframes and Multi-Year Funding:** PRM will define the timeframe and duration of activities in each unique funding opportunity announcement. Most PRM awards to NGOs are for 12-month periods, however PRM has the option of issuing funding opportunity announcements offering provisional approval for 24 or 36 month periods. Each unique



funding opportunity announcement issued by PRM will clearly specify whether the Bureau will make use of this option.

**Multi-Year Funding:** NGOs proposing multi-year projects must submit fully developed programs with detailed budgets, objectives and indicators for each year of activities. **These can be updated yearly upon submission of non-competing continuation applications.** Applicants should note that they may use PRM's recommended multi-year proposal template for multi-year applications, which is different from the single year template. Multi-year funding applicants should use PRM's standard budget template and should submit a separate budget sheet for each proposed project year.

Multi-year applications selected for funding by PRM will be funded in 12-month increments based on the proposal submitted in the initial application as approved by PRM. Continued funding after the initial 12-month award requires the submission of a noncompeting continuation application and will be contingent upon available funding, strong performance, and continuing need. Continuation applications must be submitted by the organization no later than 90 days before the proposed start date of the new award (e.g., if the next project period is to begin on September 1, submit your application by June 1). Late applications will jeopardize continued funding.

The main components of the continuation application are:

- An overview of challenges in previous year(s) and revised or updated indicators for the coming year.
- A revised detailed budget for the coming year.
- Further explanation of the project's ongoing transition plan, if applicable, and confirmation of progress made.

In years two and three, the NGO does not need to submit an application in response to PRM's publicly issued funding opportunity announcements. Only the continuation application and its associated documentation and the revised budget need to be submitted. PRM cannot guarantee funding for follow-on years.

Applicants should understand that receipt of prior funding for the same or similar projects in a given location is not a pre-condition for and does not guarantee continued PRM funding. PRM retains the right to re-compete projects at any point in time.

## 5. Reporting Requirements

**A. Program Reports:** PRM requires program reports describing and analyzing the results of activities undertaken during the validity period of the agreement. A program report is required within thirty (30) days following the end of each three month period of performance during the validity period of the agreement. The final program report is due ninety (90) days following the end of the agreement. The submission dates for program reports will be written into the cooperative agreement. Partners receiving multi-year awards should follow this same reporting schedule and should still submit a final program report at the end of each year that summarizes the NGO's performance during the previous year.

The Performance Progress Report (SF-PPR) is a standard, government-wide performance reporting format available at:

[http://www.whitehouse.gov/OMB/grants/approved\\_forms/sf-ppr.pdf](http://www.whitehouse.gov/OMB/grants/approved_forms/sf-ppr.pdf).

Recipients of PRM funding must submit the signed SF-PPR cover page with each program report. In addition, the Bureau suggests that NGOs receiving PRM funding use the PRM recommended program report template and reference this template as being attached in block 10 of the SF-PPR. This template is designed to ease the reporting requirements while ensuring that all required elements are addressed. The Program Report Template can be requested by sending an email with only the phrase "PRM NGO Templates" (without the quotation marks) in the subject line, to [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov).

The following guidance is designed to accompany the recommended reporting template:

- **Cover Page** – Complete the chart on the first page.
- **Progress on Objectives and Indicators** – Include the objectives and indicators from the cooperative agreement and describe progress on each indicator during the reporting period as well as cumulative progress to date. Use the table provided in the template.

- **Analysis of Progress** – For any indicator that the project is not on track to meet, analyze why and indicate the steps being taken to meet the target.
- **Collaboration/Coordination** – Describe efforts to coordinate the project activities with projects and services provided by the national or local government, other NGOs, UNHCR, other international organizations, and other bilateral donors. Describe significant gaps in assistance to the beneficiary population.
- **New Developments** – Are there any issues or developments in the project design and/or areas of operation during the reporting period that the organization did not initially anticipate? If so, describe the impact that these have had on project implementation and how the organization has responded.
- **Challenges** – Describe any security, financial, and/or personnel management issues during the reporting period. Describe the impact that these challenges have had on the project and how the organization has responded to these issues.
- **Other** – Provide any additional information about the project, current trends, or other related issues that are important to note. This section might also include success stories that the organization would like to highlight to PRM.
- **Acknowledgement of PRM funding:** Complete the section on PRM Funding. For acknowledgement plans that were outlined in the proposal but which have not occurred or are not being met, provide an explanation and indicate the steps being taken to comply with this contractual obligation.

**B. Financial Reports:** Financial reports are required within thirty (30) days following the end of each calendar year quarter during the validity period of the agreement (January 30<sup>th</sup>, April 30<sup>th</sup>, July 30<sup>th</sup>, October 30<sup>th</sup>). The final financial report covering the entire period of the agreement is required within ninety (90) days after the expiration date of the agreement. For agreements containing indirect costs, final financial reports are due within

sixty (60) days of the finalization of the applicable negotiated indirect cost rate agreement (NICRA).

Reports reflecting expenditures for the Recipient's overseas and United States offices should be completed in accordance with the Federal Financial Report (FFR SF-425) and submitted electronically in the Department of Health and Human Services' Payment Management System (HHS/PMS) and in accordance with other award specific requirements. Detailed information pertaining to the Federal Financial Report including due dates, instruction manuals and access forms, is provided on the HHS/PMS website at [http://www.dpm.psc.gov/grant\\_recipient/ffr\\_info/ffr\\_info.aspx](http://www.dpm.psc.gov/grant_recipient/ffr_info/ffr_info.aspx).

## **6. Contacting PRM**

Recipients of PRM funding must submit all required reports to the Office of the Comptroller to the electronic mailbox address [prmcomptroller2@state.gov](mailto:prmcomptroller2@state.gov) or as stated in within the cooperative agreement.

The subject line of electronic mail transmissions must include the following information: Organization Name, Agreement Number, Report Type, and Reporting Period.

Each funding announcement will identify a specific point of contact, typically a program officer in Washington, and, as applicable, a field-based PRM Refugee Coordinator. PRM recommends that organizations submitting proposals notify the designated point of contact once the proposal has been successfully submitted via Grants.gov.

Applicants may address general questions about PRM's overseas assistance to NGOs, and provide feedback to PRM on its proposal, budget, and report templates, to PRM's NGO Coordinator:

Jennifer Smith  
NGO Coordinator  
Bureau of Population, Refugees, and Migration  
U.S. Department of State  
2025 E ST, NW  
8th floor  
Washington, DC 20522-0908

Phone: (202) 453-9364

Fax: (202) 453-9394

Email: [PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov)

## **APPENDIX A BUDGET DETAIL INSTRUCTIONS**

The following provides guidance for the preparation of a proposal's budget detail using PRM's recommended budget template.

The budget detail template includes columns reflecting the Bureau's federal funding, other (non-federal) cost-share funding, as well as the total funding need broken down by objective. The Bureau anticipates that an organization will include each of the budget categories listed below when preparing an estimate of expenses for carrying out a proposed project whether the project is 100% funded or jointly funded with multiple donors.

**The use of the PRM budget detail template is highly recommended and estimates should be rounded to the nearest dollar.** (Note: Information included in the budget detail should correspond to and be overviewed in the budget summary and be explained in greater detail in the budget narrative.)

In FY 2014, PRM will ask applicants whose proposals address gender-based violence (GBV) through their projects to estimate the total cost of these activities as a separate line item in their proposed budgets. PRM understands that this is only an estimate. PRM's budget template document has been updated to reflect this new requirement.

For multi-year proposals, a separate budget summary, detail, and narrative must be submitted for each year. The same budget template can be used for each year.

To request copies of the PRM-recommended budget detail template please send an email, with only the phrase "PRM NGO Templates" (without the quotation marks) in the subject line, to PRM's NGO Coordinator ([PRMNGOCoordinator@state.gov](mailto:PRMNGOCoordinator@state.gov)).

### **REQUIRED BUDGET CATEGORIES:**

#### **PERSONNEL:**

This category includes annual salaries/wages, stipends, consultant fees, allowances, differentials, bonuses or extra month's salary and

any anticipated termination/severance pay for any personnel to be charged to the proposed agreement.

All positions listed should indicate the amount of time (expressed as a percent), the rate of pay, and the associated unit measurement (hour/month/year) anticipated to fulfill project implementation. For consultants, the proposed daily rate to be paid as compensation and the number of consultant days that are anticipated to be paid must be shown.

The Bureau will not authorize personnel positions to be charged based on a flat monthly fee that includes salaries, benefits, travel costs, etc.

If your organization anticipates the payment of employee termination and/or severance pay during the proposed funding period, the Bureau will consider such costs an allowable charge to the agreement to the extent of the Bureau's responsibility in accordance with each employee's direct relation to the Bureau's funded activities. For example, an employee charged to Bureau activities for one-half of their employment with the organization shall have only one half of their termination or severance costs charged to the agreement.

Other types of allowances such as housing and education or differentials must be shown separately and identified against the position to be charged. They should be based on established policies and should be made available to all employees of the organization in similar situations or positions, not just to employees funded by the U.S. government. The Bureau's policy is to limit the payment of allowances to amounts which do not exceed the rates approved for government employees in similar situations.

#### **FRINGE BENEFITS:**

This category should identify the various fringe benefits offered to employees for which the Bureau will be charged under the agreement. While the cost of individual benefits need not be specified, the total cost, including the percentage of salaries, if appropriate, should be shown. The benefits must be consistent with the organization's established personnel policies and practices for all of its employees, not just for those employees who may be funded by the government.

## **TRAVEL:**

List travel for all employees and consultants. Travel must be identified as U.S. domestic, in-country, or international. Indicate the per diem rate for each city of travel. All anticipated trips must be listed and are subject to Bureau approval. Any travel not included in the requested budget and not approved by the Bureau may not be charged to the agreement.

It is the Bureau's policy not to reimburse organizations for per diem allowances, both overseas and domestic, which exceed the rates approved for government employees. Current rates can be found at the following link: [http://aoprals.state.gov/web920/per\\_diem.asp](http://aoprals.state.gov/web920/per_diem.asp).

## **EQUIPMENT:**

This category must include a complete and detailed listing of all non-expendable equipment anticipated to be purchased for program activities and to be charged to the agreement. Non-expendable equipment is that which has: 1) a useful life of one year or more and an acquisition cost of \$5,000 or more per unit. **However, consistent with your policy, lower limits may be used.** Your budget must identify which of the above is followed and must be consistently applied to all U.S. government funding arrangements. PRM's Office of the Comptroller must be informed, in writing, of recipient's policy and the threshold amount if less than \$5,000. Any equipment that may be determined, after the initial budget approval, to be required to meet the program objectives must be specifically approved by the Bureau in writing prior to the purchase. Equipment not included in the approved budget or subsequently approved by the Bureau will be considered an unallowable cost under the agreement.

List all equipment that will be leased, including vehicles.

For organizations that have **not** previously received Bureau funding: Include a summary description of your property management procedures that are currently in place. This will be incorporated into the Bureau's funding arrangements with your organization.

## **SUPPLIES:**

Show all tangible personal property by appropriate category (office supplies, classroom supplies, medical supplies, etc.) that may be



purchased and charged under the agreement. The budget narrative should describe the types of items included in each of the categories and the proposed use.

**CONTRACTUAL:**

List all proposed sub-contracts or sub-recipients that are anticipated to carry out the proposed program, i.e., security guards, additional personnel, sub-agreements with an implementing partners etc. These agreements are subject to the regulations set forth in 22 CFR 145.

**OTHER:**

Any other direct cost not clearly covered herein. Examples are computer use, telephone (telex, fax, long distance international and local in-country costs **must** be listed separately), postage, space rental (list projected rental items), audit fees, insurance, utilities, etc. Each item must be listed separately showing an estimated cost.

**INDIRECT COSTS:**

Show the amount of indirect costs and the base amount on which it is determined. It should be indicated whether the rate has been approved by a government cognizant agency and the type of rate (provisional, predetermined or fixed). A copy of the current Negotiated Indirect Cost Rate Agreement must be submitted for the recipient and sub-recipient(s), if applicable. (The Bureau does not recognize indirect costs unless they have been determined by an audit and formally approved by the U.S. government cognizant agency).

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**1/** For each new vehicle to be purchased and charged to the agreement, please state the purpose for which it will be used and indicate whether the vehicle will be assigned to a motor pool or to an individual. Also, please list separately any vehicle that may currently be owned or leased that is expected to be charged to the agreement. Bureau policy prohibits the use of project vehicles and drivers for personal use, which includes commuting between home and place of employment. Any non-direct program or unofficial use of a vehicle must be reimbursed at the appropriate government rate.

**2/** For guidance in determining allowable insurance costs, please refer to 2 CFR 215. The Bureau will no longer allow charges to its agreements for costs of insuring equipment purchased with project funds against loss or damage, except for unique or high expense items. The Bureau will allow charges for automobile liability and comprehensive insurance coverage.

## **APPENDIX B**

### **BUDGET NARRATIVE INSTRUCTIONS**

The purpose of the budget narrative is to explain the costs that PRM expects an organization to include in each budget category when preparing an estimate of expenses for carrying out a proposed project whether the project is 100% funded or jointly funded with multiple donors. The budget narrative should include the following:

#### **PERSONNEL:**

Identify each position and indicate its support of the project and/or sector(s). If not provided in the budget detail, indicate the numerical justification for the total cost.

For example, Director of Assistance Programs – This individual is responsible for the overall management of the project. He/she insures compliance with all the terms and conditions of the agreement including implementation, program and financial reporting.  
 $\$85,000/\text{year} \times 10\% \text{ of time} = \$8,500.$

Identify consultants, separately, from other permanent staff. If possible, include anticipated position title(s), the proposed daily rate to be paid as compensation, and the number of consultant days that are anticipated.

#### **FRINGE BENEFITS:**

If an established NICRA includes a rate for fringe benefits, please ensure that you utilize and/or adjust the rate appropriately.

If the fringe benefit rate is not included in the NICRA, please provide a copy of the company policy and/or rates (as a percentage) that are being charged per category of benefits.

#### **TRAVEL:**

All Headquarters and/or project employees' travel must be identified via mode of travel, departure and arrival city, purpose, unit of measurement, and duration of trip. Please note that the movement of project participants and supplies is a separate transportation line item.

For example, 10 in-country trips via air transportation will be conducted to implement workshops and training sessions. Roundtrip airfare from Kinshasa to Goma for 5 employees is anticipated. Each trip will include 5 days of per diem per employee.

In-country Airfare – 10 trips x 5 employees x \$200 = \$10,000

Lodging - 10 trips x 5 employees x 5 days x \$161/day = \$40,250

Per diem - 10 trips x 5 employees x 5 days x \$57 = \$14,250

### **EQUIPMENT:**

Include a detailed listing of all non-expendable equipment anticipated to be purchased for program activities including justification.

Land Rover – Due to the challenging road conditions, inclement weather, terrain conditions, and geographical location(s) of project sites, it is deemed reasonable and necessary to purchase a new vehicle. Vehicle x 1 quantity = \$40,000

### **SUPPLIES:**

General Office supplies include the following items: pens, pencils, notebooks, printer paper, ink cartridges, etc.

12 months x \$100/month x 3 project offices = \$3,600

Due to the opening of a new project office to support Sector “X” activities, project supplies include the following items: 2 laptop computers, 3 desktop computers, 2 printers, etc.

2 laptop computers x \$700 = \$1,400

3 desktop computers x \$1,200 = \$3,600

2 printers x \$400 = \$800

### **CONTRACTUAL:**

Detailed budgets should be included for sub-grantees.

ABC Organization will serve as a partner to assist with implementing sector “X” activities. \$75,000 detailed budget is attached.

XYZ Organization will provide security services via a contract. \$50,000 detailed budget is attached.

**OTHER:**

The following direct project expenses are related to the implementation of all sector activities and are proportionate based on actual use.

Rent of Office space in three locations - 12 months x 3 offices x \$400 = \$14,400

Utilities - 12 months x 3 offices x \$100 = \$3,600

Postage - 12 months x 3 offices x \$50 = \$1,800

Courier – 25 trips x 2 offices x \$25 = \$1,250

Communication (phone, fax, internet) = 12 months x 3 offices x \$200 = \$7,200

Transportation cost of medical supplies via ground freight =  
2 trips x \$3,000 = \$6,000

**INDIRECT COSTS:**

Show the amount of indirect costs and the base amount on which it is determined. A copy of the current Negotiated Indirect Cost Rate Agreement must be submitted for recipient and sub-recipient(s). The Bureau does not recognize indirect costs unless they have been determined by an audit and formally approved by the U.S. government cognizant agency.